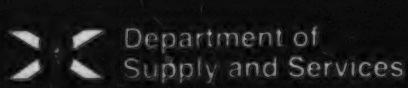
Nova Scotia Records Management

Records Management Training in the Government of Nova Scotia

A Report of the
Records Management Training Task Force

June 1992



Nova Scotia

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June 1992
1.3

Nova Scotia Records Management
Systems and Computer Services
Department of Supply and Services

93-02131/

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Records Management Staff Development and Training Report
Nova Scotia Records Management

DEVELOPMENT AND TRAINING

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Records Management Staff Development and Training Report
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1.1 Executive Summary

1.1.1 Purposes

The purposes of this report are to:

- document the current status of records management training in the Government of Nova Scotia;
- survey user needs for records management training;
- identify external training opportunities;
- recommend types and levels of in-house training required.

1.1.2 Background

In April 1991 the Nova Scotia Records Management program was reconstituted and transferred to Systems and Computer Services, Department of Government Services. Management Board identified human resource development in records management as a key area.

Nova Scotia Records Management established a Records Management Training Task Force in June 1991 to assist the development of a training program. This study is the first stage of this process. Research, client surveys and target nominal group sessions are the basis of the data of this study.

1.1.3 Major Findings

- There is no formal in-house training for records management.
- Only 16% of current staff with records-keeping responsibilities have received any training.
- Training activities that do exist are haphazard and uncoordinated.
- Poor and unsystematic use is made of external programs.
- Clients with records-keeping responsibilities identified records management training as required.
- Managers identified awareness of the importance of records management as a key issue.

1.1.4 Action Plan

THAT Nova Scotia Records Management, in conjunction with the users community, develop an in-house training program with several levels of training.

THAT Nova Scotia Records Management deliver training services and programs.

THAT the Civil Service Commission provide course administration service, including schedules, registration, and fee assessment, and evaluation process.

THAT Departments identify other specific training requirements and establish internal priorities.

THAT management orientation sessions and special programs (lectures, seminars, etc.) be presented to raise awareness.

THAT Nova Scotia Records Management distribute information about external programs and coordinate allocation of spaces where they are limited.

1.1.5 **Benefits**

- Awareness of the value of records information as a resource and asset.
- Understanding of importance of integrity, security, retrievability, continuity of the records and memory of Government.
- Appreciation of roles of executive, managers, supervisors and working levels of the records management process.
- Systematic cross-training to a government-wide standard facilitates staff transfers and provides basis for human development opportunities.
- Practical advice on cost-reduction and identification of streamlining and efficiency measures.

1.1.6 **Costs**

- No additional staffing resources are required.
- Delivery services are provided by Nova Scotia Records Management, Department of Government Services.
- Course administration is provided by the Civil Service Commission.
- Departments would assign staff to participate in sessions and courses and provide for course fees from within current allocations.

1.2 List of Recommendations

1.2.1 Action Plan

The action plan is that:

1. Nova Scotia Records Management, in conjunction with the users community, develop an in-house training program with several levels of training.

2. Nova Scotia Records Management deliver training services and programs.

3. The Civil Service Commission provides course administration service, including schedules, registration, fee assessment, and evaluation process.

4. Departments identify specific training requirements and establish internal priorities.

5. Management orientation sessions and special programs (lectures, seminars, etc.) be presented to raise awareness.

6. Nova Scotia Records Management distribute information about external programs and coordinate allocation of spaces where they are limited.

1.2.2 Recommendations

It is recommended that:

1. A coordinated and phased training program be established. This program should lead the employee through a series of steps which meet that particular individual's needs and provide the department with a trained employee.

2. Nova Scotia Records Management explore the feasibility of cooperation among Atlantic Provinces in the area of records management and micrographics training.

3. Nova Scotia continue to utilize the training program of the National Archives of Canada. Nova Scotia Records

Management should act as the coordinator of assignment of spaces to departments.

4. Nova Scotia Records Management encourage the development and expansion of records management education at all post-secondary levels.

5. Nova Scotia Records Management develop a series of management orientation programs to raise awareness and understanding of records management.

6. A practical "how-to" series of records management courses be developed for staff with records management and records administrative responsibilities.

7. Training be focused on specific skills and activities within the Nova Scotia records management system.

8. General training programs provide skills and understanding to enable departments to implement records management policy.

9. Training provided in records management should identify the links between information management, information technology and records management.

10. Development and provision of training in areas overlapping between records management and information technology be coordinated with other training programs provided by Systems and Computer Services Division.

11. Records management training emphasize the life-cycle approach to recorded information, provide an awareness of this important concept, and outline the roles of all partners in life-cycle management (creators, records managers, archivists).

12. Nova Scotia's records management training emphasize the specifics of policy and practice within the Nova Scotia Government.

13. All training activities should have a service orientation and should facilitate use of service support, both from Nova Scotia Records Management as the central agency and from departmental records managers.

14. Delivery of training should be linked to levels and responsibilities of records management positions across Government.

15. Course fees for formal programs delivered by Nova Scotia Records Management be $50 per day per attendee.

16. Special programs, guest speakers, and seminars be provided on a cost-recovery basis.

17. Other orientation and awareness sessions be available without charge from Nova Scotia Records Management.

18. A completion certificate (or letter) be provided to all attendants, but courses are not part of a formal certification process.

19. The Manager of Training, Systems and Computer Services be invited to participate in the Records Management Training Task Force.

20. Training programs provide instruction in skills required to implement and maintain records management programs and records-keeping systems.

21. Training course content directly supports improved performance of job duties at two skill set levels: records management and records administration.

22. Civil Service Commission, Nova Scotia Records Management, and the Records Management Users Group work together to implement a human resource system which integrates and coordinates records management policy, department records management organization, position descriptions, job classification levels and training programs.

23. Nova Scotia Records Management provide orientation sessions upon request and in conjunction with departmental records management designates.

24. Orientation be provided at all levels.

25. Nova Scotia Records Management initiate curriculum and course development with the priorities: (a) an introductory overview course available to all levels; (b) a practical course for Departmental designates focused on the new policy and records scheduling; and (c) introduction to filing operations.

26. Nova Scotia Records Management, in conjunction with Civil Service Commission, personnel managers, and the Records Management Users Group, investigate means of establishing career development opportunities and identify program criteria and requirements.

27. The records management designates of departments identify secondment possibilities and encourage the establishment of opportunities.

28. Nova Scotia Records Management investigate the feasibility of establishing an apprentice secondment program.

29. Departmental records management identify and establish temporary assignments as career development opportunities for qualified staff.

30. Departments encourage participation in records management courses and development activities and provide for fees and other costs in the planning of human resource development programs and records management implementations.

2. Introduction

2.1 Background

Management Board identified the lack of records management training for employees of the Province of Nova Scotia as an area requiring development. Earmarking the training issue as a priority, Management Board made it part of the Nova Scotia Records Management mandate.

In order to fulfil this mandate, the Director of Nova Scotia Records Management, Systems and Computer Services, Department of Government Services, proposed the formation of a committee to address records management training in the Province.

To develop and implement an effective records management training program, a number of initial steps were required:

- document the current status of records management training in the Government of Nova Scotia;
- survey user needs for records management training;
- identify external training opportunities;
- establish types and levels of training required.

At the first meeting of the Records Management Users Group on June 20, 1991, members were invited to join the Records Management Training Task Force. Five members of the Users Group indicated their interest at that time and the committee was struck with two additional members, the Director and a Records Analyst of Nova Scotia Records Management. At the September 4 meeting the Manager of Human Resource Development of the Civil Service Commission, was added, increasing the membership of the Task Force to eight.

2.2 Purpose: Records Management Training Task Force

The goal of the Records Management Training Task Force as stated in its terms of reference is to:

> Assist Provincial Records Management to establish a training and human resource development program by reporting to the Department of Government Services on records management training in the Government of Nova Scotia.

This goal comprises several specific objectives:

(a) identify the availability and sources of records management training within the various departments and agencies of the Government of Nova Scotia;

(b) identify and evaluate records management courses offered by external institutions;

(c) determine the records management training profile of a random sampling of both management and support staff with designated records management responsibilities;

(d) examine the records management training programs of other jurisdictions;

(e) identify specific records management responsibility areas within the Government requiring training in order for staff to perform effectively;

(f) draft an outline of a Nova Scotia Records Management training program which meets identified needs of Government employees; and

(g) determine the need to raise the level of awareness of management and support staff with respect to the management of the Province's information resource.

2.3 Scope and Method

This report focuses on the subject of records management as a discipline, a management process, and a functional activity within the Government of Nova Scotia. "Records management" is defined as:

> The application of systematic controls and

standards to the life-cycle (creation, use, retrieval, retention, conversion, disposal and preservation) of information resources in all formats.

Records management encompasses records and data inventory, records classification and scheduling, as well as records administration (mail receipt and registration and filing operations). Records management also addresses related areas such as vital records, disaster recovery, freedom of information and privacy, and information management.

The scope of this report is the departments and agencies of the Nova Scotia Government. It primarily focuses on the needs and requirements of those with records-keeping and records management responsibilities at the departmental level. There are also training and human resource development requirements for staff of Nova Scotia Records Management, including management of electronic records and micrographics.

A variety of methods were used to gather information about the current status and needs for records management training: research, surveys, nominal groups, etc.

2.3.1 (a) Survey Questionnaire

A records management training questionnaire was circulated to all members of the Records Management Users Group with the request that the questionnaire be distributed to departmental staff in the following positions: information and records management, program managers and officers with significant records management responsibilities, administrative managers and supervisors, chief clerks, staff of central registries and other registries, and other administrative and clerical support workers with records custodial duties. (See the questionnaire in Appendix 10.1.)

The survey solicited responses to determine:

(1) the level and type of records management training currently held by respondents;

(2) the activity areas of records management responsibility held by respondents;

(3) the subject areas of records management in which respondents identified they require training;

(4) the style of training respondents feel would best meet their needs; and

(5) the number of respondents with affiliation to a records management professional organization.

2.3.2 (b) Nominal Group Sampling

Nominal group sampling sessions with management and support level employees were conducted by the Manager of Human Resource Development, Civil Service Commission. These sessions clarified records management training issues and identified priority areas.

2.3.3 (c) Other Jurisdictions

Nova Scotia Records Management collected information from other jurisdictions regarding records management training, including course outlines, schedules, and copies of curriculum material. This material is available for reference and copying at the Nova Scotia Records Management Resource Centre.

2.3.4 (d) External Agencies

Nova Scotia Records Management investigated Records Management Training courses offered by the federal government, local universities, and community colleges.

2.3.5 (e) Private Companies

A Nova Scotia Records Management staff member attended a commercial course offered in Halifax.

3. Findings

3.1 General

The information gathered through the survey questionnaire and the nominal group sampling, other jurisdictions and external agencies indicates an absence of a records management training program within the Government of Nova Scotia, the lack of formal training by employees with records management responsibilities, currently a meagre choice of training possibilities through external agencies and a range of extant records management training programs in other jurisdictions. The survey showed that, out of 222 respondents, less than 20 percent had received some type of formal training either before or during their present position.

Through discussion of records management training needs with people both inside and outside the Government of Nova Scotia, many interesting options and ideas emerged. As well, some existing training opportunities were explored.

3.2 Status of Records Management Training in Nova Scotia Government

At present there is no formal training program in place. Most often, training is given informally from one staff member to another on the job.

Training activities are random and haphazard. There is no common curriculum, although in some departments, Manual 301 (Records Management) is used as the standard for training and orientation of employees working in Central Registries.

Recommendation No. 1

A coordinated and phased training program be established. This program should lead the employee through a series of steps which meet that particular individual's needs and provide the department with a trained employee.

3.3 External Programs

3.3.1 Other Provincial Jurisdictions

Alberta, New Brunswick, Newfoundland, Prince Edward Island, and British Columbia were consulted regarding their records management training programs and outlines of their records management training curriculum were obtained. All have identified training as an important component of a records management training program. (Information on other programs is available from Nova Scotia Records Management.)

Recommendation No. 2

Nova Scotia Records Management explore the feasibility of cooperation among Atlantic Provinces in the area of records management and micrographics training.

3.3.2 External Agencies

National Archives of Canada

The National Archives of Canada, through its Office of Professional Development and Communications, offers training and education services to government employees who manage the recorded information of the Government of Canada. Although the primary candidates for these training services are federal government employees involved in the management of the government's recorded information, qualified employees of other government and some non-profit organizations may also attend if space is available. Currently there is no charge for Nova Scotia Government employees attending these courses.

Several members of the Records Management User Group as well as a Nova Scotia Records Management Records Analyst and the Supervisor of the Provincial Records Centre

attended records management courses offered by the National Archives of Canada. These courses were:

- Records Management in a Regional Setting
- Retention Plans and Disposition Operations
- Classification Systems, Analysis, Design and Implementation

Recommendation No. 3

Nova Scotia continue to utilize the training program of the National Archives of Canada Nova Scotia Records Management should act as the coordinator of assignment of spaces to departments.

Course schedules will be distributed in April/May of each year. Departments should forward seat requests to Nova Scotia Records Management who will arrange seats with the National Archives of Canada. There is currently no cost for registration.

3.3.3 Post-Secondary Education

There are some educational opportunities at the post-secondary level in the records management field or related disciplines. It would be most beneficial if the existing courses and programs could be augmented. Some form of linkage association would also create the basis for a stream of education and training from community colleges to graduate schools.

Recommendation No. 4

Nova Scotia Records Management encourage the development and expansion of records management education at all post-secondary levels.

Graduate Studies Level

Although in the recent past Dalhousie School of Library and Information Studies has periodically offered a course, there are currently no records management courses offered at local universities at the graduate studies level. The Director of Nova Scotia Records Management is consulting with the Provincial Archivist (Public Archives of Nova Scotia) and the Head, Library School, on the possibility of establishing an archival studies component in the curriculum of the Masters of Library Science graduate studies program at Dalhousie University. If established, this component would offer one course and possibly an advanced seminar in records management.

Undergraduate Level

Mount Saint Vincent University has recently revised its Office Administration program and developed a new degree program designed to give graduates the expertise to manage the new information technology. The Bachelor of Applied Arts (Information Management) will provide a specialized undergraduate education in information management and integrated office systems. Recently approved by the University's Senate, this program begins in September 1992. The program, which is the only one of its kind in Atlantic Canada and one of the few offered nationally, integrates arts, business, and information management courses. The program will provide training for information and records managers, records analysts, user support specialists, information centre analysts and trainers.

The previous program included a course, "Introduction to Records Management." The new degree program will most likely retain this course and possibly augment it with additional courses in the records management field.
The Director of Nova Scotia Records Management is a member of the Office Administration Program Advisory Board of Mount Saint Vincent University. The Board is assisting the development of this new program.

Community College Level

A related program is the Library Technician Program (consisting of four, four-month components) at the Nova Scotia Community College Halifax campus. Currently there is a records management component in this program which

consists of a four-month course entitled "Records Management and Business Skills." This program also teaches classification and cataloguing of library materials. Skills acquired in these courses are directly related to the description and classification of records.

There are no records management programs available through the Nova Scotia Community College program.

There is a records management component in the Secretarial program (offered at most campuses throughout the Province) which deals mainly with file operations and records administration. This records management module is in the course entitled "Secretarial Procedures", one of six courses in the program. It covers filing operations and retrieval practices.

3.3.4 Adult Education Programs

There are currently no adult education or community education programs in records management available at the community college level or in regional secondary schools.

3.3.5 Private Companies

National Seminars Inc.

A seminar on "Filing" held in Halifax by National Seminars was attended by a member of Nova Scotia Records Management. The seminar cost $125 to attend and offered little take-away documentation. A detailed description of the type and content of this course is included as Appendix 10. 2.

3.4 Survey Results

3.4.1 Questionnaire

On September 16, 1991, a survey was distributed to all departmental records management designates at the management level with a covering letter stating:

We want this questionnaire to be a broad-

> based representative survey of various levels of records management and records-keeping responsibilities: information and records managers, program managers and officers with significant records responsibilities, administrative managers and supervisors, chief clerks, staff of central registries and other registries, and other administrative and clerical support workers with records custodial duties.
>
> We request that you circulate the questionnaire to those in your Department in these categories.

A total of 222 surveys were returned. Results, compiled on a percentage basis, rounded off to the nearest full number, provide an overview of:

- the training taken by staff with records management responsibilities;
- the training such staff feels would enable them to perform their jobs more effectively and efficiently;
- the way this training would be best delivered;
- the membership profile of staff with records management responsibilities in the Association of Records Managers and Administrators; and
- the need for records management orientation for users and management within the Nova Scotia Government.

It should be noted that results, in each category, do not add up to 100 percent. This is due to two factors - rounding off of percentages and the fact that many respondents checked off several choices in some of the categories. For example, in the category regarding what kind of records management training had been taken by respondents; any particular respondent may have checked more than one choice.

Significant facts can be drawn from the responses:

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1. Source of Training - 71 percent of respondents learned what they know about records management from their colleagues, predecessors, or supervisors, although only 16 percent of respondents have attended some kind of records management training program, either prior to their present position or outside the government. It would appear that the majority of people with records management responsibilities have been trained by untrained sources or are self taught.

   18 percent answered that they have had no training at all.

2. Areas Requiring Training - Just one percent of respondents felt there were no areas in which they did need training to perform their job better. Ninety-nine percent identified at least one area where training was needed.

3. Type of Training - A very small percentage of respondents feel that going outside the government for training is a viable option. Responses were heavily weighted toward training within their department or other government facilities.

4. Records Orientation - 69 percent of respondents feel that there is a need for such a program for both users and managers within the Nova Scotia Government. Only 10 percent felt that an orientation program was unnecessary.

5. Members of ARMA - A meagre 3 percent of personnel with records management responsibilities are members of the globally recognized Association of Records Managers and Administrators. The Association provides ongoing professional development and training opportunities for records managers.

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Statistical Compilation of Survey Results

Source of Training
(Respondents identified how and from whom they received training.)

Supervisor	19%
Predecessor	15%
Work Colleagues	37%
Training Course (in-house)	15%
Training Course (outside)	4%
Training Program	3%
Training Program Prior to Present Position	9%
Seminars	10%
Conferences	10%
None	18%
No Answer	16%

Figure 1.

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Areas Requiring Training
(Respondents identified areas in which they require training to perform their jobs more effectively and to meet professional development needs.

Establishing/Operating a Central Registry	22%
File Classification	28%
File Maintenance/Procedures	28%
Indexing/Cross-Referencing	24%
Library Operations	14%
Mail Management	10%
Managing Electronic Data Processing Records	12%
Micrographics	13%
Protection of Vital Records	23%
Records Centre Transfers	18%
Records Inventory	18%
Records Staff Training	14%
Retention/Disposition of Records	27%
Involvement with Documents Committee	9%
None	1%
No Answer	36%

Figure 2.

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Type of Training
(Respondents identified the kind of training best suited to their learning styles and work requirements.

Training Session or Consultation within Department	58%
Nova Scotia Records Management Seminar/ Courses/Sessions	53%
Outside Professional Programs	7%
Special Programs	1%

Figure 3.

Need for Records Management Orientation for Users and Managers
(Respondents stated their opinions on this question by choosing yes or no.)

Yes	69%
No	10%
No Answer	19%

Figure 4.

Members of Association of Records Managers and Administrators
(Respondents stated whether or not they belong to ARMA.)

Members	3%

Figure 5.

3.4.2 Nominal Groups

Nominal group sampling is a technique employed to identify issues and concerns through small group discussions. Groups identify issues through discussion. The groups review all the issues, deciding which ones are critical, important and "nice to have". This technique provides a relaxed forum for exchange of ideas and produces a consensus through the process of elimination.

Two nominal sampling groups were formed and met on January 7 and January 8 to examine records management training issues in the Government of Nova Scotia. Management personnel were members of one group and the other group was made up of activity level employees. The two groups were drawn from a diverse selection of departments and agencies: Sport and Recreation Commission, Workers' Compensation Board, Management Board, and the Departments of Finance, Government Services, Economic Development, Environment, Agriculture and Marketing, Fisheries, Tourism, Commission on Drug Dependency and Health. The nominal group sessions were facilitated by the Civil Service Commission's Manager of Human Resources Development.

Management Level Group

The management level group identified the following key issues and ranked them in order of importance. They are:

Issue 1 Standardization of process:

- government level
- department level
  - retention schedule
  - legal importance
  - legislation
  - active, inactive, pending

Issue 2 Acceptance and understanding of records management by senior management:

- systems
- equipment
- $$$

Issue 3 Manual for records management use and reference

Issue 4 Regional staff/offices and centralized systems problems with information:

- access
- availability
- current?/complete?
- retention and disposal of files at regional level:
    - computerized
    - microfiche

Issue 6 Skill development requirements/training.

Issue 7 Trends on records management and future:

- applications
- impacts
- technology
- retention
- computerization
- professional education

Issue 8 Details on workings of records management - working knowledge.

Issue 9 Roles/responsibilities of records management committees:

- records review committee
- records review advisory committee

Issue 10 Understanding of what records management is and how it impacts on jobs.

Issue 11 Physical requirement to maintain/develop records management systems.

Issue 12 Remaining current in records management systems information available (i.e., newsletters).

Responsibility Level Group

The responsibility level group identified the following key issues and ranked them in this order.

Issue 1 Training:

- 1 - 2 day course to include:
  - outside courses
  - access, classification
  - basic "how to's" of system
  - avoiding duplication
  - practical application

Issue 2 Manuals that are operation systems:

- i.e., completed forms
- easy to use/read manuals

Issue 3 Electronic Data Storage:

- optical imaging
- records management techniques
- computerized records control

Issue 4 Methods of storage and reproduction:

- comparative information
- costs and effectiveness

Issue 5 Setting and evaluation of retention schedules.

Issue 6 Defining classification of files.

Issue 7 Retention Scheduling:

- Public Archives - what goes there?
- methods
- legal implications
- regulations

Issue 8 Management of Publications (i.e., annual reports):

- library versus central registry

Issue 9 Reclassification of central registry position and title - "records management analysts"

Based on the nominal group results, the Training Task Force makes the following recommendations:

Recommendation No. 5

Nova Scotia Records Management develop a series of management orientation programs to raise awareness and understanding of records management.

Recommendation No. 6

A practical "how-to" series of records management courses be developed for staff with records management and records administrative responsibilities.

Recommendation No. 7

Training be focused on specific skills and activities within the Nova Scotia records management system.

4. Nova Scotia Records Management Staff Development Program

4.1 Principles

In reviewing requirement for records management training, a number of important principles were identified by the Task Force. These principles should guide the development and delivery of programs.

4.1.1 Support departmental implementation of records management policy.

It is important that training directly support departmental records management programs. A new records management policy is being set in place to serve as a framework for these departmental programs. Departments will be addressing implementation activities that flow out of this policy and will require direct training support for implementation projects.

Recommendation No. 8

General training programs provide skills and understanding to enable departments to implement records management policy.

4.1.2 Integrate with information technology architecture.

In April 1991, Management Board released the Information Technology Architecture Plan. "Information technology architecture" is the structure given to information, applications, work organization and technology -- the components, their inter-relationships and the principles and guidelines governing their design.

It is the intention of Management Board that records management be consistent with the Information Technology

Architecture Plan. The Plan not only guides the automation of records management functions and activities, but also requires that the records management principles of systematic control of the life-cycle should be integrated with the development and implementation of all systems.

Information technology is having an increasing impact on records management. The complexity of records and information systems, the need for retention and disposition control of electronic records, and the requirement for automation of records management functions focus the urgency for cooperation between information technology and records management training.

Recommendation No. 9

Training provided in records management should identify the links between information management, information technology and records management.

The Systems Development and Support section of Systems and Computer Services has a training program relating to computers and information technology. To ensure effective coordination with records management training, the Manager of Training should be invited to participate in the Records Management Training Task Force.

Recommendation No. 10

Development and provision of training in areas overlapping between records management and information technology be coordinated with other training programs provided by Systems and Computer Services Division.

4.1.3 Develop awareness of life cycle of recorded information process.

The life-cycle approach is fundamental to systematic records management. This principle encompasses three stages in the life-cycle of any record, regardless of physical format or medium (files, computer tapes and disks, etc.).

The life-cycle of recorded information spans from planning and creation, through use and maintenance, to final disposition (either destruction or transfer to Archives). Training activities should provide a basic understanding of this concept, explain how it relates to administration of records and an appreciation for the players and participants in the life-cycle.

ACTIVE - the phase of a record's use and maintenance in the office of creation or receipt. Records in the active phase are in the physical custody of Departments.

SEMI-ACTIVE - the phase of a record's retention in off-site storage facilities. Records in the semi-active phase are normally stored in the Nova Scotia Records Centre. Ownership and control of access still resides with the Department.

INACTIVE - the final stage of a record's life when it is eligible for final disposition either by (a) destruction or (b) transfer to the custody of the Public Archives of Nova Scotia for preservation as the Government's permanent memory.

Recommendation No. 11

Records management training emphasize the life-cycle approach to recorded information, provide an awareness of this important concept, and outline the roles of all partners in life-cycle management (creators, records managers, archivists).

4.1.4 Ensure records management training is coordinated with Civil Service Commission's human resource development programs.

The Civil Service Commission provides a variety of human resource development programs. Specific records management training delivered by Nova Scotia Records Management should be coordinated with the Civil Service Commission.

4.1.5 Provide programming at all levels: executive, management, supervisor, clerical support.

Awareness and knowledge about records management generally and skills and abilities in the Nova Scotia system should be provided at all levels. This would encompass executive, management, supervisor, and administrative support levels.

4.1.6 Provide curriculum specific to Nova Scotia policy and program.

Course content could either be:

(a) knowledge-based which emphasizes knowledge about records management generally; or,

(b) skills-based which emphasizes specifics of Nova Scotia policy and practice.

Courses offered by private companies provide the former, a kind of generic approach to records management as a business activity. These courses are often not relevant to the government context and do not stress membership in a government-wide records management community. Other external programs in post-secondary institutions or the Federal Government can provide the basis for general knowledge of the discipline and methods of records management.

A primary objective of courses development and delivered by Nova Scotia Records Management for records management and records administration staff should be to ensure that trainees can assume roles and responsibilities as working participants in the Nova Scotia records management community.

Recommendation No. 12

Nova Scotia's records management training emphasize the specifics of policy and practice within the Nova Scotia Government.

4.1.7 Ensure clients can use services from departmental programs and Nova Scotia Records Management.

Orientation sessions and other programs should emphasize the service network that exists at both the departmental and central levels. Participants should have a general understanding of records management, know how to access services (records advisory, records retrieval, storage, micrographics, training, etc.), and be familiar with the government-wide network in records management.

Recommendation No. 13

All training activities should have a service orientation and should facilitate use of service support, both from Nova Scotia Records Management as the central agency and from departmental records managers.

4.1.8 Link training curriculum to a classification matrix that provides framework for organization, position descriptions, classification and career paths for records management.

Training is inevitably linked to job skills and career development. Implementation of the new records management policies, upgrading of departmental programs, and automation of records management functions will all affect the roles and responsibilities of records

management staff. This evolution should be provided for in position descriptions and classification schemes. To ensure consistency, Nova Scotia Records Management should work to review the classification framework for records management with the Civil Service Commission.

Recommendation No. 14

Delivery of training should be linked to levels and responsibilities of records management positions across Government.

4.2 Policy

The following are recommended policies to govern development and delivery of records management training programs.

4.2.1 Eligibility

Training is provided to the employees of departments and agencies of the Government of Nova Scotia. This is the primary criteria for eligibility. Seats may be provided to other public institutions and levels of government on a space available basis.

Nova Scotia Records Management should establish over-all, cross-government priorities for training, based on priorities for departmental implementation. Priority should be assigned to employees of departments and agencies with records management plans and with records management development projects. Within these parameters, availability is first-come, first-served.

This priority assessment and evaluation should be applied generally and not on and individual applicant-by-applicant basis. No application to a regularly scheduled course, approved by the immediate supervisor , Director of Personnel, and Records Management designate, would be screened out of a course due to government-wide priorities. However, significant training activity in a department without a records management project or plan,

or without strong management support for records management may not be a cost-effective or appropriate use of training resources.

Departments should establish internal priorities for training based on records management plans.

Management level designates of departments should review and approve applicants to records management training courses. This should be noted in the Civil Service Commission's Calendar.

4.2.2 Fees

The Task Force considered the issue of fees for attendance at in-house training programs. Options range from no charge for attendance to full-cost recovery. The type of programming (formal course versus orientation sessions) was also considered relevant to cost recovery. It was generally agreed that there should be fees for formal courses, scheduled and administered through the Civil Service Commission. Orientation sessions and department-specific training are mostly provided without fees. Special programs, guest speakers, seminars, etc., with costs for external resources would require full cost recovery.

Recommendation No. 15

Course fees for formal programs delivered by Nova Scotia Records Management be $50 per day per attendee.

Recommendation No. 16

Special programs, guest speakers, and seminars be provided on a cost-recovery basis.

Recommendation No. 17

Other orientation and awareness sessions be available without charge from Nova Scotia Records Management.

4.2.3 Certificates

Full certification programs are usually based on recognized and established curriculum. Although a multi-phased program is recommended as desirable in the long-term, it is not considered feasible to develop and issue a formal records management certificate program at the present time. This issue can be reviewed in the future.

Recommendation No. 18

A completion certificate (or letter) be provided to all attendants, but courses are not part of a formal certification process.

4.3 Roles and Responsibilities

Effective identification of training requirements and needs and appropriate delivery requires clear roles and responsibilities of central agencies, departments, and individual participants.

4.3.1 Departments

Departmental records management designates are the lynch-pins of effective records management training. Not only will they be major recipients of training services, but they will also identify needs, establish priorities, guide delivery, and

monitor effectiveness of programs. The following are the recommended responsibilities for both levels of designates:

Management Level

- Identify and document training requirements to Nova Scotia Records Management.
- Plan the provision of training services in accord with the department's records management training plan.
- Review records management course applicants to ensure departmental coordination.
- Monitor effectiveness and relevance of programs and advise Nova Scotia Records Management for services and upgrading.

Responsibility Level

- Advise management level on records management requirements.
- Liaise with departmental network, distributing information on records management generally and the availability of training.
- Participate in training programs as coordinator and trainer.

4.3.2 Records Management Users Group

The Records Management Users Group (RMUG) is the network for records management in the Government of Nova Scotia. Members are encouraged to share information and network solutions with each other.

Meetings of RMUG should include frequent updates about the training program and provide an opportunity for feedback and comment.

To coordinate these activities and provide advice to Nova Scotia Records Management, the Records Management Training

Task Force should continue under a revised terms of reference.

4.3.3 Nova Scotia Records Management

Nova Scotia Records Management is the primary deliverer of records management training programs in the Government of Nova Scotia.

Its training-related responsibilities are:

- Coordination of the Records Management Training Task Force;
- Ensure development of an effective course curriculum;
- Deliver courses as trainer and coordinate provision of training by other resources;
- Establish standards and guidelines for records management training, including eligibility, fees, registration, delivery;
- Identify external training programs;
- Leadership and advocacy of records management training.

4.3.4 Civil Service Commission

The Civil Service Commission's Human Resource Development program is the central agency with general responsibility for training and human resource development programs. It provides cross-government training for a variety of common subjects and skills.

The Human Resource Development program also has a capability for administration of regularly scheduled courses, including publicity, registration, and fees assessment.

With respect to records management training, it is recommended that the Human Resource Development program consider the following roles:

- Provide course administration services for regularly scheduled records management courses;

- Participate as a technical resource in the Records Management Training Task Force;
- Facilitate establishment of records management programs in extended development programs;
- Facilitate delivery of special programs on a cost-recovery basis.

4.3.5 Others

The other primary partners in the development and implementation of records management training are:

(a) Training, Systems Development and Support of Systems Computer Services and

(b) Personnel Services sections of departments.

Human resource managers of departments and agencies constitute a primary user and liaison group for the records management program. They can provide information about training needs and priorities and can promote training activities within their organizations. Planning of departmental-specific training should be developed in conjunction with human resource managers. General information about records management training should be circulated to this group by Nova Scotia Records Management.

The Training unit of Systems Development and Support (SCS) is responsible for providing and identifying end-user training for computer and information technology. Because of the interrelationship between information technology and records management, there should be a close working relationship between this program and records management training.

Recommendation No. 19

The Manager of Training, Systems and Computer Services be invited to participate in the Records Management Training Task Force.

Other agencies and internal government organizations with a role or responsibility for human resource development should be identified and encouraged to participate at an appropriate

level.

4.4 Course Administration Process

4.4.1 Regularly Scheduled Courses

A process and procedure is required for administration of regular records management training courses. The most effective method is to incorporate this process with one administration of the Civil Service Commission's Human Resource Development program. The following is a proposed procedure.

(a) Records Management course offerings are publicized in the Commission's Human Resource Development Calendar of Staff Training and Development Courses issued in June of each year. Deadline for course offering notices is 30 May 1992.

(b) Applicants are screened and approved by immediate supervisors and the departmental Director of Personnel. Additionally, the approval of the departmental designate (management level) for records management should be required for records management courses.

(c) If a wait list develops, additional sessions of the course may be scheduled as training delivery resources are available. Civil Service Commission and Nova Scotia Records Management will liaise on organization of additional sessions.

(d) Civil Service Commission collects course fees to cover administrative costs.

Costs of training materials, course binders, hand-outs, etc., may be billed back to the Civil Service Commission.

(e) Priorities for training spaces for specific departments will be monitored by Nova Scotia Records Management to ensure cost-effective delivery of training and direct linkage to implementation projects. However, applicants will not be screened individually on the basis of originating department.

Generic priorities may be indicated in the

Calendar's notices.

4.5 Curriculum Development Process

Nova Scotia Records Management will develop the records management curriculum and specific courses, in conjunction with the Records Management Training Task Force and the Civil Service Commission. The curriculum and course content should be regularly audited and revised to ensure it meets basic needs.

4.5.1 Course Components

A. Learning Objectives

- Skills
- Knowledge

B. Publicity Material

- Calendar Notices
- Flyers and Communications

C. Instruction Handbook

D. Participant Binders

E. Evaluation Records

- CSC Evaluation Form
- Other Evaluations

4.5.2 Course Development Process

A. Drafts prepared by Nova Scotia Records Management

B. Review by Task Force and other appropriate experts

4.5.3 Test and Implementation

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A. First course sessions

B. Review and evaluation

- Participant evaluation
- Task Force input
- External evaluations

C. Upgrade and revision of course content, delivery methods

5. Skill Sets: Nova Scotia Records Management

Records management is not "just the files". It is a broader activity that encompasses all forms of recorded information and focuses on the management of retention and disposition. Records management is not strictly a clerical function. The duties and responsibilities required for effective departmental records management span across a wide range of functions. There are certainly clerical activities involved, but effective records management also includes analytical, technical, and management functions.

Records management, as a professional discipline, is closely related to archives and library science. Thus, a professional base is required for many of its activities.

The course curriculum and skill sets addressed should recognize each level of functional activity: the professional, the administrative/supervisory, and the clerical.

Records management training should be delivered so that the skills and abilities required for this broader orientation are developed. However, training should also provide practical skills in document control and filing operations.

There are two general categories of skill sets required for effective records management:

- Records Management
- Records Administration

These broad categories should guide the development of training programs. They should also be reflected in position descriptions and job classification plans.

5.1 Records Management Skill Set

This skill set encompasses activities which are management, analytical, and professional in nature. The level spans Department Records Manager, Department Records Analyst, etc. Skills required to be effective in this role are:

(a) Inventory, describe, and schedule records.

This is a primary activity of records management. It involves the creation and maintenance of a departmental inventory (database) of information holdings. The quality and integrity of data for this inventory requires a professional resource to research, document, and update it. This activity includes development of classification systems and records schedules.

(b) Records/information systems analysis.

This includes functional analysis of an organization, work-flow analysis, documentation of the interfaces between forms, records, databases, etc.

(c) Advisory service.

This encompasses analysis and documentation of issues, and presentation of solutions. Written and oral communications skills should be at a professional level and include preparation of reports and presentations suitable for executive and management review. The skill of providing useful, practical, easy-to-use advice is also essential to this function.

(d) Development, implementation, and evaluation of policies, standards, and guidelines.

This encompasses the program management function.

5.2 Records Administration Skill Sets

This skill set encompasses the administrative, clerical, and para-technical activities associated with control and custody of records: document, correspondence, and file management. It covers file operations and administrative support for a variety of records and information activities. The levels span secretary, records clerk, Central Registry Clerk, office manager, and the records administration duties of the Chief Clerk, Central Registry.

Skills required to be effective in these roles are:

- Ability to operate a records and filing system.

- Ability to use and apply records classification systems and records schedules.
- Ability to retrieve information and control documents and files in hard-copy and office automation environments.
- Ability to design a filing procedure.
- Ability to perform the following records administration activities:
  - Mail management (registration, distribution, etc.)
  - Classification and identification
  - Indexing and cross-reference
  - Location control
  - Filing and refiling
  - Retrieval, charge-out, and distribution
  - Recall and search
  - Physical maintenance
  - Purging
  - Use of semi-active storage and retrieval services
  - Use of archival services

Recommendation No. 20

Training programs provide instruction in skills required to implement and maintain records management programs and records-keeping systems.

Recommendation No. 21

Training courses content directly supports improved performance of job duties at two skill set levels: records management and records administration.

Recommendation No. 22

Civil Service Commission, Nova Scotia Records Management, and the Records Management Users Group work together to implement a human resource system which integrates and coordinates records management policy, department records management organization, position descriptions, job classification levels and training programs.

6. Records Management Training: Activities and Courses

6.1 Orientation Sessions

Brief overviews and orientations are an effective way to introduce records management to groups of staff within an organization. This type of program can often be provided within the context of regular staff or committee meetings.

Presentations can vary in length and complexity and focus on key issues of primary interest to the participants. Departmental records management designates have a primary responsibility for organizing orientation sessions, focusing content, and participating as trainers. Representatives from other agencies and external resources may also participate in orientation sessions.

Recommendation No. 23

Nova Scotia Records Management provide orientation sessions upon request and in conjunction with departmental records management designates.

Recommendation No. 24

Orientation be provided at all levels.

6.1.1 Executive Presentations (Senior Management)

A primary requirement of good management is strong executive support. Nova Scotia Records Management should provide high-level presentations for executives that stress the importance, benefits and value of records management. These presentations should identify such issues as:

- Corporate Memory and Role of Archives
- Integrity and Authenticity of the Record

- Costs of Duplication and Redundancy
- Legal Risk
- Records Management as Human Resource Development

6.1.2 Management Orientation Sessions

Support and awareness for records management among middle management is essential. Managers and Directors have the front-line accountability for records and information management systems. Orientation sessions for this level should be provided by Nova Scotia Records Management.

Topic and issue coverage should be similar to Executive presentations, but sessions for managers should deal directly with operational issues of cost-effectiveness, control, retrieval, and security. Records management's contribution to effective automation should be stressed.

6.1.3 Other Orientations

Nova Scotia Records Management should also provide special orientation sessions developed in conjunction with departmental records management programs. For example:

- Orientation for office managers of district offices in a department.
- Orientation for regional registrars.
- Orientation for staff in a division that will be implementing a new records management system.

General, introductory orientation can be possible, but the optimum use of this type of training activity is direct support of our implementation project approved by the department's executive.

6.2 Records Management Training Curriculum

The core of a training or human resource development program is its established curriculum, its regularly scheduled

courses. A primary recommendation of this report is that a series of regularly scheduled courses be established for records management training.

The proposed outline for the records management curriculum is as follows:

6.2.1 Basic Courses

- RM-1 "Nova Scotia's New Records Management Systems Overview". One day. A general overview.

  Basic understanding of records management concepts and records management policy and programs in the Nova Scotia Government.

  TARGET: All Levels. This course is a prerequisite for all additional courses and should be taken by all staff with records management, records administration, and information management responsibilities.

- RM-2 "Introduction to Records Management Systems and Basic Filing Operations." Two days.

  "How-to" implement and maintain records classification systems and maintain filing operations. Basic guidelines for effective document and files management. Practical solutions for filing problems.

  TARGET: Administrative support staff with records-keeping responsibilities. Records clerk and records administration specialists.

  IMPLEMENTATION: The development and delivery of this course depends on the establishment of Nova Scotia's new standard records classification system. The first stage of this course would be a one-day session focusing on basic filing operations and document/file maintenance. When the new classification system is available (April 1993), the course would be expanded to a second day. The primary concentration of the new section would be the new classification system.

6.2.2 Advanced Courses

- RM-3 "Implementing New Records Management Policy: How to Manage a Departmental Records Program. Two-day session with 1/2 day follow-up.

  Good working knowledge of Nova Scotia Records Management policy. Develop skills and activities required to establish and maintain a departmental records management program.

  TARGET: Departmental designates (management and responsibility levels; managers and supervisors with major records-keeping responsibilities.

  IMPLEMENTATION: Initially this course will cover both records management program development and records scheduling. One of the primary objectives of establishing a records management program is to develop or review a records schedule. When the new records classification system and records scheduling process is established, the course would evolve into two separate courses: (a) Advanced Records Management Program Managing; and (b) Records Scheduling.

- RM-4 "Records Schedule" How to Schedule Recorded Information." Two-day course with two one-day follow-ups.

  A "how-to" guide to scheduling records in the Nova Scotia Government. Covers Public Records Disposal Act process, inventory and classification of information holdings, appraising retention and disposition values.

  TARGET: Departmental records management designates and specialists; major participants in the records scheduling process.

  IMPLEMENTATION: Initially this course would be combined with "Implementing Records Management Policy." When the new records classification system and records scheduling process is established, a separate course on records scheduling would be developed. This course would teach skills and standards of the new process.

- RM-5 "Records Administration: How to Run a Records Operation." Two-day course with one-day follow-up.

  Advanced filing operations; using and interpreting records schedules; standard records classification in the Nova Scotia Government.

  This course would be an advanced and expanded revision of the basic course in filing operations and records classification systems.

6.2.3 Special Courses

Special courses may be required to supplement the basic core curriculum of records management courses. These courses may deal with technical topics, specific issues, related fields of interest, or practical guidelines for using central services. Special courses identified as priorities are:

- "Automated Records Management." One day.

  Introduction to automated records management tools. Basic skills in using Nova Scotia's common system.

  The development and delivery of this course is contingent on the establishment of a common system for automation of the records management functions. An option would be to provide a practical orientation to packaged automated records management software.

  TARGET: Records administration support staff, records management designates.

- "Managing Electronic Records." One day.

  Skills in managing the retention and disposition of electronic records, databases, office automation systems. An advanced course in preservation issues with electronic records.

  TARGET: Departmental designates, information systems analysts and managers.

- "Using the Records Centre". 1/2 day.

Practical guide on policies and services of the Nova Scotia Records Centre. How to arrange transfers, retrievals, and disposals. Other services.

TARGET: Records administration support staff. Department designates (responsibility level).

- "Public Archives." One day.

  Overview and orientation to the purposes and services of the Public Archives of Nova Scotia. Provides understanding of the role of archives in the records life-cycle and awareness of value of archives as government's memory. Skills in how to use the archives, includes tour.

  TARGET: Departmental designates (both levels). Managers and program officers, records management support staff.

- "Administering Office Automation Records." One day.

  Practical guide to managing documents and files in office automation systems; focuses on records retention and disposition, links with hard-copy records, access and retrieval, etc.

  TARGET: Records managers, supervisors, and records administration support staff. Departmental designates (responsibility level).

- "Micrographics in the Nova Scotia Government." 1/2 day.

  An introduction to micrographics technology; practical guide to using the services of the Nova Scotia Micrographics Centre; includes a component on imaging systems.

  TARGET: All levels.

6.2.4 Departmental Courses

- "Project Implementation." Duration as required; recommended 1/2 day or one day.

Content is geared to augmenting basic courses with skills and information to support implementation projects in specific departments.

TARGETS: Departmental staff with working-level records management and records administration.

- WORKSHOPS. Duration as required, recommended 1/2 day or one day.

  Content is focused on problem resolution and program development at the departmental level. These training sessions should be planned by Departmental records management designates. Nova Scotia Records Management can provide technical advice and assistance. Programs can be jointly delivered.

6.2.5. Summary

It is proposed that this outline guide the development of specific course content for regularly scheduled courses. The proposed order of development is as follows:

	Priority	First Offering
RM-1	Records Management Overview	Fall 1992
RM-2	Introduction to Filing Operations	Winter 1992
RM-3	Implementing Records Management Policy	Fall 1992
RM-4	Records Schedule	Fall 1993
RM-5	Records Administration	Winter 1995

Recommendation No. 25

Nova Scotia Records Management initiate curriculum and course development with the priorities: (a) an introductory overview course available to all levels; and (b) a practical course for Departmental designates focused on the new policy and records scheduling; and (c) introduction to filing procedures.

6.3 Records Management Components in Civil Service Commission Programs

The Human Resources Development program of the Civil Service Commission offers an opportunity to provide training and orientation about records management as an integrated part of a general training courses. Two particular programs of the Civil Service Commission would be beneficial to raising awareness about records management:

- Extended Development Programs
- New Management Orientation Program

6.3.1 **Extended Development Programs**

For most effective implementation, records management should be integrated into normal patterns of management and administration of an office or agency. This includes functions, activities, and issues at every level of organization from executive to management, to supervisory, to administrative and clerical support. This Report recommends training programs and development activities for all levels.

One way to deliver a multi-level program is to include records management components within existing training and development programs of the Civil Service Commission. The Commission offers a series of extended development programs which are modular and cover a broad range of management and supervisory topics: human resource management, planning and leadership, financial management, central agencies, etc.

Material about records and information management in the Nova Scotia Government appropriate for each of the following extended development programs could be delivered by Nova

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Scotia Records Management:

- Senior Management Development Program
- Management Development Program
- Supervisory Development Program
- Chief Clerk Development Program

(a) Senior Executive

This program presents six modules to develop leadership and management skills critical for senior management and to provide a forum for information exchange. Module 3 is "Current Issues: Financial, Human Resource, and Policy/Program Management."

A records and information management component in this module could present an overview of current policy, practice and issues in the management of information resources.

(b) Management

This program contains eleven modules for middle managers. Middle management often has direct responsibility for critical records and information resources and is key to effective implementation of records management across government. A records management component could effectively present the policy framework, the goals, objectives, and benefits of records management, the roles and responsibilities of managers, and services available from Nova Scotia Records Management.

(c) Supervisory

This eight-module program for government staff with supervisory responsibilities includes a module on central agencies and general information about general management, finance, human resources, etc.

A records management component could provide a brief overview of the records management process and offer information on assessing needs and obtaining services from Nova Scotia Records Management.

(d) Chief Clerks

This nine-module program is designed to develop and improve skills required by clerical staff. It covers communication skills, basic bookkeeping, budget control, supervisory, etc,

and includes a module on office procedures improvement.

A records management component in this module could cover the basics of records management, use of Nova Scotia Records Management Services, and offer suggestions for improved filing operations.

6.3.2 New Management Orientation

This program provides recently appointed managers with an understanding of the roles of central agencies and central government service programs.

A records management component in this three-day course could introduce the basics of records management, outline the process in the Nova Scotia government and provide information on how to identify issues and obtain services.

6.4 Special Programs

The regular records management curriculum and departmental training sessions can be supplemented with a variety of special programs: lectures, guest speakers, seminars, conferences, specialized courses, etc.

6.4.1 Guest Speakers

With respect to guest speakers and lectures, Nova Scotia Records Management should seek to present a variety of activities on all aspects of records management. Nova Scotia Records Management should also cooperate with the Civil Services Commission, the MIS Coordinators Forum, the Public Archives of Nova Scotia, the Nova Scotia Government Libraries Council and external agencies to bring experts noted for excellence in records and information management to the Halifax region.

This programming should not only be for the Records Management Users Group, but also for other participants in the records and information management process in the Nova Scotia Government. Representatives of local governments, the Federal Government, the Nova Scotia Health Records Association, and other professional informatics groups could also be invited to attend.

6.4.2 Special Programs in Records and Information Management

Upon request or when specific needs are identified, special courses, seminars, or conferences can be organized. These could cover any topic in records and information management. For example, two Departments have requested a specialized course in the proper care and handling of fragile documents.

Nova Scotia Records Management should coordinate the planning and delivery of these programs. When there are costs (contracted service, lectures, fees, travel, accommodation, etc.) for these programs, they should be run on a cost-recovery basis. The Civil Service Commission could provide administrative and registration services.

Departments are encouraged to identify needs and requirements for specialized programs.

6.4.3. Development by Participation

Another special activity that contributes to professional and personal development is active participation in work groups and subcommittees. Nova Scotia Records Management should be committed to a consultative, joint process of program development and should continue to seek participation from a broad spectrum across government. Departments should encourage staff, especially those with records management responsibilities, to contribute to the program by participating in the Records Management Users Group, its subcommittees, and other activities.

Participation in information and records management associations is another way to obtain training and professional development. For example, the Halifax Chapter of ARMA (Association of Records Managers and Administrators) has monthly meetings, a newsletter, and education programs. Other associations of interest include the Canadian Health Records Association (Nova Scotia Chapter), the Atlantic Provinces Library Association, the Data Processing Management Association, the Association for Information and Image Management, the Association of Canadian Archivists, etc.

7. Career Development Opportunities

7.1 Introduction

A commitment to human resource development is fundamental to the Nova Scotia Records Management program. This is a pillar of the philosophy of empowerment, accountability, and standards. Training courses and educational programs form the core of human resource development.

This section explores a few of these methods. For example, secondments and temporary assignments can provide capable individuals interested in a career in records management and related areas with an opportunity to learn new skills and develop analytical and communication abilities .

These career development activities could be provided for both the records management and records administration skill sets. These programs could supply the direct experience of actually doing records management duties and practising the craft of analysis, description and scheduling.

Although no specific positions may be vacant or available at the conclusion of these programs, the experiences gained will raise the level of a participant's qualifications. The base of expertise across government will also be expanded.

Recommendation No. 26

Nova Scotia Records Management, in conjunction with Civil Service Commission, personnel managers, and the Records Management Users Group, investigate means of establishing career development opportunities and identify program criteria and requirements.

7.2 Secondments

Two types of secondment may be possible: secondments between Departments, and secondments from a Department to Nova Scotia Records Management.

Departmental Secondment

Departments with established records management and/or central registry programs may have the expertise and capability of providing a staff resource on secondment to departments or agencies in the early stages of program establishment or undertaking major projects. Seconded staff could work along side the department's staff, providing orientation and guidance. This would supply direct skills transfer, encourage networking, and improve the standard of practice.

Such a program would also provide a temporary assignment opportunity in the department that provided the person for secondment.

Recommendation No. 27

The records management designates of departments identify secondment possibilities and encourage the establishment of opportunities.

Secondments to Nova Scotia Records Management

Secondments from departments to Nova Scotia Records Management may also be feasible. These would be primarily as assistants to Records Analysts, though other types of assignments may also be feasible (e.g., a filing systems implementation specialist). Position descriptions outlining duties, levels of activity, and qualifications would be required.

Departments and agencies could identify prospective participants and salary dollars and develop a secondment agreement in conjunction with Nova Scotia Records Management. Participants could work directly under the tutelage of a Nova Scotia Records Management Records Analyst and be assigned to a variety of projects with a specified percentage of time allotted back to the participating department.

Such an apprentice program would also provide a direct working experience and return a trained resource to the participating department. Participants could likely improve their chances of qualifying for professional positions in records management

that may be vacant or established.

Recommendation No. 28

Nova Scotia Records Management investigate the feasibility of establishing an apprentice secondment program.

7.3 Temporary Assignments

Departments can fashion career development opportunities for themselves by identifying qualified individuals and providing temporary assignments to work on records management projects.

These assignment could be established for projects in both records management and records administration responsibility areas. Assignments should be linked to the overall records management plan for the department and should support achievement of departmental priorities. It is suggested that these opportunities be coordinated by departmental records management designates. Nova Scotia Records Management could consult on assignment terms of reference and qualification levels.

Recommendation No. 29

Departmental records management identify and establish temporary assignments as career development opportunities for qualified staff.

7.4 Other Programs

There may be other types of career development programs which could both provide a career opportunity and raise the professional level of records management in the Government of Nova Scotia. For example, educational leave to attend post-secondary programs could be combined with co-operative education. This could develop staff through education and work experience and provide the Department with a resource to improve its records management program.

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Nova Scotia Records Management should organize a workshop to consider career development generally. This would be the first step in implementing the primary recommendations of this section.

8. Costs and Benefits

8.1 Costs

The basic programming recommended in this report can be provided within the current staffing levels of Nova Scotia Records Management. No additional staff resources are required.

Incidental costs relating to training and orientation (course materials, travel, correspondence, completion certificates) may require reallocation from existing funds. Nova Scotia Records Management should itemize specific costs and document program costs on a per session and per participant basis.

Curriculum development for special sessions, expansion of the program, and contracted services may require additional resources, but this can be reviewed on an on-going basis, integrated with the regular budget process, and handled as part of the continuing review of the overall training program.

8.1.1 Planning and Coordination

It is a mandated responsibility of Nova Scotia Records Management to provide overall planning and coordination of records management training. These functions are currently funded and resourced adequately.

The Records Management Training Task Force also has a key role in planning and development. An active membership from a cross-section of departmental designates is essential to this role and departments should be encouraged to make time available for this important network activity. The contribution of the Civil Service Commission's Human Resource Development program is also essential for effective planning and coordination of records management training.

Two other important ingredients of planning and coordination are input from members of the Records Management Users Group and feedback from session participants. The program should be implemented so that there is continuing input from these sources. Incidental costs are associated with these activities.

The curriculum recommended in this report includes courses related to information technologies. These include:

(a) "Automated Records Management",

(b) "Managing Electronic Records", and
(c) "Administering Office Automation Records" (See pp. 54 to 55.)

The active involvement of the Manager of Training, Systems and Computer Services Division should be sought for the planning and development of these courses.

8.1.2 Curriculum Development

Development of specialized curriculum can be an intensive and long-term activity requiring dedication of resources and significant contributions from a number of participants.

The major tasks of curriculum development are the responsibility of Nova Scotia Records Management. The basic level of programming recommended by this report can be largely developed with existing resources, as long as the Records Management Training Task Force is available to review training packages and to provide advice on specific course content.

Some specialized sources (e.g., "Public Archives," and "Administering Office Automation Records", etc.) may require development by appropriate agencies or external, contracted resources.

The roles of the Records Management Users Group, Civil Service Commission, and course participants is similar to that under "Planning and Coordination."

8.1.3 Direct Training Costs

Costs identified in this section include the costs of administration, presentation and delivery, and evaluation of sessions and courses.

Administration

The Human Resource Development program of the Civil Service Commission has an extensive and effective course administration function. Civil Service Commission has offered to provide these services to the records management training program. No additional resources are required to implement this and add-on costs are marginal.

These services include publicity, registration, and

notification to participants.

Presentation

Presentation costs include course binders, reading materials, hand-outs, overhead, audio-visual aids, etc., and other equipment, supplies, and facilities required to present courses and sessions.

For the most part, current funding levels can support the provision of these resources for basic training levels and orientation sessions. Marginal increases or reallocations may be required for course binders if participant levels rise dramatically. It may be feasible to allocate some of the $50 per participant per day fee to cover these costs.

In-house facility locations can meet virtually all requirements. Small allocations may be required for special events. In some cases, it may be necessary to resource the development and production of training aids - videos, photocopying, etc. This can be planned and provided for in the regular budget process.

Delivery

Delivery costs cover staff resources required to deliver sessions, courses and activities such as instructors, facilitators, or presenters.

It is projected that staff of Nova Scotia Records Management will be the primary instructors. No additional staff is required to provide the basic and advanced courses and general orientation sessions recommended by this report. Current allocations can also cover a minimal level of training in regions outside Halifax-Dartmouth. If significant training is requested for regional and district offices, additional resources would have to be identified. Cost-sharing to cover extensive travel costs and participation of departmental records management staff as instructors may be required.

Special courses will require either a commitment of appropriate agencies or identification of funds required for contracted instructors. These programs can be planned and budgeted for as required.

Evaluation

The Civil Service Commission has a course evaluation program built into the course administration and delivery process. Records management training courses should use this evaluation method. This can be enhanced by liaison and communication with the Records Management Users Group and other participants in the records management network.

8.1.4. Departmental Participation

One of the cost areas associated with a government-wide training program is the cost to departments and agencies of assigning staff to attend courses. This includes the $50 per participant per day fees, travel and accommodation if required, and salary costs while participants are on course.

A strong commitment to human resource development is a hallmark of good management. Departmental commitment to records management training is also a measure of the status of implementation of Management Board policy on records management.

Recommendation No. 30

Departments encourage participation in records management courses and development activities and provide for fees and other costs in the planning of human resource development programs.

8.2 Benefits

The benefits of training and development in records management will accrue directly to the participating departments and agencies. The training will directly promote the savings, cost-avoidance actions, and efficiency measures produced by implementation of a records management program. Statistics on direct savings and cost-avoidance will be difficult to measure directly against the training program, but achievements of economy and efficiency will be reflected in evaluation of the records management programs.

Improved records management practices will reduce records duplication and redundancy and curtail time and resources spent

on retrieval and access. Training courses will present practical advice and guidelines, upgrading efficiency in these areas.

Courses will also provide a common framework and standard for cross-government consistency. This will reduce costs of the development/redevelopment cycle as too often in records management, staff changes result in a "new system". Instead, Government will have a pool of expertise, cross-trained in and aware of a common system. Savings in orientation and training of transferred or reassigned staff will result.

One of the primary indirect benefits will be awareness. Employees at all levels will understand that records and information are valuable public resources and assets and that it is necessary to manage and control them accordingly. The importance of information management to an organization will be stressed and compared to financial and personnel management.

In addition to this general awareness, training and orientation can raise consciousness about roles and responsibilities of executives, program managers, supervisors, and working levels at all stages of the records management process.

One of the issues in records management is the general lack of appreciation and understanding of the value of records management and records administration to an organization. The "it's just the files" syndrome affects all working levels. It inhibits strong management support, restricts cooperation, and can result in low self-esteem in the work place for staff providing records management services.

The training program recommended in this report will redress this imbalance. It will raise the confidence that directors and managers have in the records system for which they are accountable. By stressing the integrity, security, retrievability, and control of the recorded memory of an organization, training and orientation programs will give management a deeper appreciation of the entire life-cycle process. By focusing on services and practical solutions, training will help departments address and solve problems.

Finally, training in records management will provide an important underpinning to automation of records and information management activities. There are three aspects to this. First, training programs can directly address needs for improved document and file management in the automated environment.

Secondly, an understanding of records management will assist staff to adapt to increasingly automated information systems. Management of human resources during transformations of information technology will be made easier.

Lastly, the improved records management practice resulting from training will prepare organizations for automation and make the process smoother and cheaper. Better records management means better order and better functional relationship between records systems. This will facilitate automation.

Appendix 1

Survey Questionnaire

This appendix contains a copy of the survey questionnaire which was distributed to the Users Group in the Fall of 1991.

(Report Reference - Page 15)

RETURN BY 25 OCTOBER 1991

SURVEY QUESTIONNAIRE

RECORDS MANAGEMENT TRAINING

IN THE

GOVERNMENT OF NOVA SCOTIA

By completing and returning this questionnaire you are helping Provincial Records Management (Department of Government Services) and the Records Management Training Task Force to identify current levels, needs and requirements of records management training for the Nova Scotia Government.

1. Enter your position, division and department.

2. Check appropriate boxes in sections.

3. Add other comments. Include the types of training courses, programs, or activities you would like to see.

Feel free to ask questions about Provincial Records Management or records management in your department.

Return by: 25 October 1991

Return to:

Director, Provincial Records Management
Systems and Computer Services Division
Department of Government Services
P.O. Box 54 (14th Floor, Maritime Centre)
Halifax, Nova Scotia B3J 2L4

TEL: 424-3012 FAX: 424-0129

QUESTIONNAIRE

RECORDS MANAGEMENT TRAINING

Department _____
Section, Division or Office _____
Your Position Title _____

A. Indicate Your Records Mamagement Duties:	B. Indicate Any Areas in Which You Received Training:
☐ Establishing/Operating a Central Registry	☐
☐ File Classification	☐
☐ File Maintenance/Procedures	☐
☐ File Retrieval/Tracking	☐
☐ Indexing/Cross-Referencing	☐
☐ Library	☐
☐ Mail Management	☐
☐ Mail Messenger (external)	☐
☐ Managing EDP Records	☐
☐ Micrographics	☐
☐ Protection of Vital Records	☐
☐ Records Centre Transfers	☐
☐ Records Inventory	☐
☐ Records Staff Training	☐
☐ Retention/Disposition of Records	☐
☐ Involvement with Documents Committee	☐

C. Training Received From:

☐ Your supervisor ☐ Your predecessor ☐ Work colleagues

☐ Training course (In-house) ☐ Training course (Outside)

☐ Training program ☐ Training Program prior to present position

☐ Seminars ☐ Conferences ☐ None ☐ Other _____

C. Training Received From: (cont'd)

List the records management courses you have taken. (Include dates.)

_____

_____

_____

_____

D. In Which Area(s) Do You Feel You Require Training to do Your Job Better?

E. In Which Area(s) Would you Like Training for Professional/Career Development?

☐ Establishing/Operating a Central Registry	☐
☐ File Classification	☐
☐ File Maintenance/Procedures	☐
☐ File Retrieval/Tracking	☐
☐ Indexing/Cross-Referencing Library	☐
☐ Library Operations	☐
☐ Mail Management	☐
☐ Mail Messenger (internal)	☐
☐ Mail Messenger (external)	☐
☐ Managing EDP Records	☐
☐ Micrographics	☐
☐ Protection of Vital Records	☐
☐ Records Centre Transfers	☐
☐ Records Inventory	☐
☐ Records Staff Training	☐
☐ Retention/Disposition of Records	☐
☐ Involvement with Documents Committee	☐
☐ Other _____	☐
☐ _____	☐

F. What do you feel are the most effective ways for you to learn?

G. For which can you get supervisor's/manager's approval to attend?

☐ Training Session or Consultation Within Your Department	☐
☐ Provincial Records Management Seminar/Courses/Sessions	☐
☐ one day	☐
☐ two days	☐
☐ longer	☐
☐ Outside Professional Programs (ARMA)	☐
☐ Special Programs (Guest Speakers, Conferences, etc.)	☐
☐ Other: _____	☐ Other: _____

H. Do you belong to ARMA (Association of Records Managers and Administrators)?
☐ Yes ☐ No

I. Do you belong to other records management professional groups?
☐ Yes ☐ No

If yes, name of assocation: _____

J. Do you see a need for records management orientation for users and managers in the Nova Scotia Government? ☐ Yes ☐ No

Other comments about Records Management

_____

_____

_____

_____

Please return to:

Provincial Records Management
Systems and Computer Services
Department of Government Services
14th Floor, Maritime Centre
P.O. Box 54
Halifax, Nova Scotia
B3J 2L4

TEL: 424-3012
FAX: 424-0129

Appendix 2

National Seminar on Filing

This appendix contains a detailed report of the National Seminar on Filing attended by a Nova Scotia Records Management staff member in October 1991.

(Report Reference - Page 21)

Outside Government Training

National Seminar on Filing

October 1991

This seminar was very well attended - about 150 participants whose backgrounds ranged from small business owners to secretaries from the Nova Scotia Government.

The seminar leader, Nancy Harris, is from Arizona where she and her husband operate a small construction equipment rental firm. She travels around the U. S. and Canada two weeks each month on the seminar circuit.

Listed below are my observations and opinions on the seminar. I have divided them into two categories - Positive and Negative.

Positive:

1. The presenter was well organized and kept the ball rolling. She was very personable and used humour and participants' anecdotes to hold participants' interest.

2. Some of the basic areas touched upon in the seminar were pretty well on track with our own views on records management - i.e., the importance of the records retention schedule, vital records program and the need for flexibility.

3. The automation section of the seminar occupied about half of the afternoon session and provided an interesting look at the new imaging technology which was obviously new to most people attending.

4. There were some useful tips for file users, especially suitable for small offices.

Negative:

1. This seminar only scratches the surface of records management topics, problems and suggested solutions.

2. The presenter did not encourage much feedback from participants because of time limitations. When people raised problems she did not spend time discussing the problem and offering solutions but instead suggested that they talk about their situation during coffee break with someone at the seminar who had encountered and solved the same problem.

3. The presenter made some comments which were offbase. For example, "files are the property of their owners" and "when packing boxes for offsite storage, jam pack them as tightly as possible to reduce the risk of damage from fire as tight packing reduces the amount of oxygen inside the box". Obviously the second statement did not take into account the possibility of retrieval from semi-active files.

4. There was nothing in the automation section on record tracking systems. The emphasis centred totally on the type and extent of EDP records. It was a view of the future of automation rather than the records management application of automation in the workplace.

5. There was no in-depth examination of filing problems. Again, due to time limitations, areas like cross-referencing, numerical and alphabetical systems were barely touched upon.

6. The number of areas touched upon included:
   a. costs of keeping records
   b. document life cycle
   c. record inventory
   d. filing audit
   e. specialized files - day files, bring forward files, work-in-progress files
   f. personal creativity files
   g. file classification
   h. administrative versus operational files
   i. purging files
   j. office analysis to determine correct filing system
   k. filing equipment - supplies and specialty items
   l. retention schedule
   m. vital records - emergency assessment and response
   n. electronic records - creation, use and disposition, data base management, security, new technology

   The key words here are "touched upon". Participants were rushed through each section so quickly that, unless they had previous knowledge or a very keen memory, their retention of seminar material would not be significant.

7. The most disagreeable aspect of the seminar was the presenter's encouragement of the general attitude that "filing is a drag" - something everyone hates to do but nevertheless must be done. This tends to discourage the professional attitude that we hope to inspire in our records management staff.

8. Some seminar time was spent promoting publications of this American-based company - all were self-help type books and cassettes. NOT ONE publication was available on records management!

9. The only handout was a "workshop reference guide" which kept most participants busy filling in the blanks. It is obviously designed to limit its effectiveness for use unless you do attend the seminar.

In summary, my assessment of this seminar is that it would be of some use to operators of a small business or workers in a very small office. The seminar does not offer much for larger operations and does little to address individual needs brought forward by the participants.

The whole seminar is a slick presentation designed to give participants an "up feeling" about something rather unpleasant. It is like a Reader's Digest condensed three-page version of "Filing for Today".

I would only recommend "Filing and Information Management Skills" to government employees if there is nothing else available.

I did hear from several attendants that there was nothing else available and, although this seminar didn't really begin to address their needs, it was better than nothing.